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In re Application of STEEN et al	:	
U.S. Application No.: 10/521,286	:	
PCT Application No.: PCT/US03/22247	:	DECISION
Int. Filing Date: 16 July 2003	:	
Priority Date Claimed: 16 July 2002	:	
Attorney Docket No.: SCH-00059-US2	:	
For: WHITE LED HEADLIGHT	:	

This is in response to applicant's "Petition for Entering an Oath or Declaration When the Inventor Refuses to Sign Under 37 C.F.R. § 1.47(A)" filed 14 December 2005.

**BACKGROUND**

On 16 July 2003, applicant filed international application PCT/US03/22247, which claimed priority of an earlier United States application filed 16 July 2002. The thirty-month period for paying the basic national fee in the United States expired on 16 January 2005.

On 14 January 2005, applicant filed national stage papers in the United States Designated/Elected Office (DO/EO/US). The submission was accompanied by, *inter alia*, the basic national fee required by 35 U.S.C. 371(c)(1).

On 11 August 2005, the DO/EO/US mailed a Notification of Missing Requirements Under 35 U.S.C. 371 (Form PCT/DO/EO/905), which indicated that an oath or declaration in compliance with 37 CFR 1.497 must be filed.

On 14 December 2005, applicant filed the present petition under 37 CFR 1.47(a).

**DISCUSSION**

A petition under 37 CFR 1.47(a) must be accompanied by: (1) an oath or declaration by each applicant on his or her own behalf and on behalf of the nonsigning joint inventors, (2) factual proof that the missing joint inventors refuse to join in the application or cannot be

reached after diligent effort, (3) the fee set forth in §1.17(i), and (4) the last known addresses of the nonsigning joint inventors.

With regard to item (1) above, applicant has submitted a declaration signed by the available inventor on his own behalf and on behalf of the nonsigning inventor.

With regard to item (2) above, MPEP 409.03(d) states in relevant part,

Where a refusal to sign the application papers is alleged, the circumstances of this refusal must be specified in an affidavit or declaration by the person to whom the refusal was made. Statements by a party not present when an oral refusal is made will not be accepted.

Before a refusal can be alleged, it must be demonstrated that a bona fide attempt was made to present a copy of the application papers (specification, including claims, drawings, and oath or declaration) to the nonsigning inventor for signature. A copy of the application papers should be sent to the last known address of the nonsigning inventor, or, if the nonsigning inventor is represented by counsel, to the address of the nonsigning inventor's attorney.

When there is an express oral refusal, that fact along with the time and place of the refusal must be stated in the affidavit or declaration. When there is an express written refusal, a copy of the document evidencing that refusal must be made part of the affidavit or declaration.

When it is concluded by the 37 CFR 1.47 applicant that a nonsigning inventor's conduct constitutes a refusal, all facts upon which that conclusion is based should be stated in the affidavit or declaration. If there is documentary evidence to support facts alleged in the affidavit or declaration, such evidence should be submitted. Whenever a nonsigning inventor gives a reason for refusing to sign the application oath or declaration, that reason should be stated in the affidavit or declaration.

The petition states that joint inventor Ronald Steen refuses to sign the application papers. Petitioner has adequately demonstrated that a bona fide attempt was made to present a copy of the application papers to Steen for signature (see affidavit of Philip Warn, ¶¶6,8). Furthermore, petitioner has sufficiently demonstrated Steen's refusal to sign. In particular, Steen has failed to respond to repeated mailings. Thus, it can be concluded with reasonable certainty that Steen refuses to join in the application.

With regard to item (3) above, applicant is advised that effective 22 November 2004, the fee for a petition under 37 CFR 1.47 increased to \$200.00. Any deficiency in the petition fee will be charged to Deposit Account No. 50-1612 as authorized in the petition.

With regard to item (4) above, the petition states the last known address of the nonsigning inventor.

### **CONCLUSION**

For the reasons above, the petition under 37 CFR 1.47(a) is GRANTED.

The application has an International Filing Date under 35 U.S.C. 363 of 16 July 2003, and a date under 35 U.S.C. 371(c)(1), (c)(2), and (c)(4) of 14 December 2005.

As set forth in 37 CFR 1.47(a), a notice of the filing of this application will be forwarded to the nonsigning inventor at the last known address of record and will be published in the *Official Gazette*.

This application is being forwarded to the United States Designated/Elected Office (DO/EO/US) for further processing in accordance with this decision.



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